

PATENT APPLICATION SERIAL NO. \_\_\_\_\_

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE  
FEE RECORD SHEET

12/26/2001 EHAILE1 00000004 10022599

01 FC:101

740.00 DP

PTO-1556  
(5/87)

\*U.S. GPO: 2000-468-987/39595

12/13/01



1-698 U.S. PTO

12-20-01

A

Please type a plus sign (+) inside this box → ☐PTO/SB/05 (11-00)  
Approved for use through 10/31/2002. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

LHC0091-08

First Inventor

Thomas R. Neuenschwander

Title

PENCIL CORE AND METHOD OF MAKING

Express Mail Label No.

EL731285165US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

- 1.
- ☒
- Fee Transmittal Form (e.g., PTO/SB/17)
- 
- (Submit an original, and a duplicate for fee processing)

- 2.
- ☐
- Applicant claims small entity status.
- 
- See 37 CFR 1.27.

- 3.
- ☒
- Specification [Total Pages
- 50**
- ]
- 
- (preferred arrangement set forth below)

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

- 4.
- ☒
- Drawing(s) (35 U.S.C. 113) [Total Sheets
- 25**
- ]

5. Oath or Declaration [Total Pages
- 1**
- ]

- a. ☐ Newly executed (original or copy)
- b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
  - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).

- 6.
- ☒
- Application Data Sheet. See 37 CFR 1.76

- 7.
- ☐
- CD-ROM or CD-R in duplicate, large table or
- 
- Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission
- 
- (if applicable, all necessary)

- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
  - i. ☐ CD-ROM or CD-R (2 copies); or
  - ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

- 9. ☐ Assignment Papers (cover sheet & document(s))
- 10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
- 11. ☐ English Translation Document (if applicable)
- 12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
- 13. ☒ Preliminary Amendment
- 14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
- 15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
- 16. ☐ Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
- 17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: **09/152,979**Prior application information: Examiner **Karl Tamai**Group / Art Unit **2834**

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label**00832**or ☐ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name

**Baker & Daniels**

Address

**111 East Wayne Street, Suite 800**

City

**Fort Wayne**

State

**IN**

Zip Code

**46802**

Country

**USA**

Telephone

**219-424-8000**

Fax

**219-460-1700**

Name (Print/Type)

**Anthony Niewyk**

Registration No. (Attorney/Agent)

**24,871**

Signature

Date

**December 13, 2001**

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PTO/SB/17 (XX-XX)  
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Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

Complete if Known

TOTAL AMOUNT OF PAYMENT

\$740.00

Application Number

Filing Date

First Named Inventor

Thomas R. Neuenschwander

Examiner Name

Group Art Unit

Attorney Docket No.

LHC0091-08

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number

02-0385

Deposit Account Name

BAKER & DANIELS

- ☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR § 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity Code | Small Entity Code | Fee (\$) | Fee Description        | Fee Paid |
|-------------------|-------------------|----------|------------------------|----------|
| 101               | 201               | 740      | Utility filing fee     | 740.00   |
| 106               | 206               | 330      | Design filing fee      |          |
| 107               | 207               | 510      | Plant filing fee       |          |
| 108               | 208               | 740      | Reissue filing fee     |          |
| 114               | 214               | 160      | Provisional filing fee |          |
| SUBTOTAL (1)      |                   |          |                        | \$740.00 |

### 2. EXTRA CLAIM FEES

| Extra Claims       |             | Fee from below | Fee Paid |
|--------------------|-------------|----------------|----------|
| Total Claims       | 9 -20** = 0 | X              | = 0.00   |
| Independent Claims | 3 -3** = 0  | X              | = 0.00   |
| Multiple Dependent |             |                | =        |

| Large Entity Code | Small Entity Code | Fee (\$) | Fee Description  |
|-------------------|-------------------|----------|--|
| 103               | 203               | 18       | Claims in excess of 20                                     |
| 102               | 202               | 84       | Independent claims in excess of 3                          |
| 104               | 204               | 280      | Multiple dependent claim, if not paid                      |
| 109               | 209               | 84       | ** Reissue independent claims over original patent         |
| 110               | 210               | 18       | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) \$0.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity Code | Small Entity Code | Fee (\$) | Fee Description   | Fee Paid |
|-------------------|-------------------|----------|---|----------|
| 105               | 205               | 130      | 65 Surcharge - late filing fee or oath  |          |
| 127               | 227               | 50       | 25 Surcharge - late provisional filing fee or cover sheet                     |          |
| 139               | 239               | 130      | 130 Non - English specification   |          |
| 147               | 247               | 2,520    | 147 For filing a request for ex parte reexamination                           |          |
| 112               | 212               | 920*     | 112 920* Requesting publication of SIR prior to Examiner action               |          |
| 113               | 213               | 1,840*   | 113 1,840* Requesting publication of SIR after Examiner action                |          |
| 115               | 215               | 110      | 55 Extension for reply within first month                                     |          |
| 116               | 216               | 400      | 200 Extension for reply within second month                                   |          |
| 117               | 217               | 920      | 460 Extension for reply within third month                                    |          |
| 118               | 218               | 1,440    | 720 Extension for reply within fourth month                                   |          |
| 128               | 228               | 1,960    | 980 Extension for reply within fifth month                                    |          |
| 119               | 219               | 320      | 160 Notice of Appeal  |          |
| 120               | 220               | 320      | 160 Filing a brief in support of an appeal                                    |          |
| 121               | 221               | 280      | 140 Request for oral hearing  |          |
| 138               | 238               | 1,510    | 1,510 Petition to institute a public use proceeding                           |          |
| 140               | 240               | 110      | 55 Petition to revive - unavoidable   |          |
| 141               | 241               | 1,280    | 640 Petition to revive - unintentional  |          |
| 142               | 242               | 1,280    | 640 Utility issue fee (or reissue)  |          |
| 143               | 243               | 460      | 230 Design issue fee  |          |
| 144               | 244               | 620      | 310 Plant issue fee   |          |
| 122               | 222               | 130      | 130 Petitions to the Commissioner   |          |
| 123               | 223               | 50       | 50 Processing fee under 37 CFR § 1.17(q)                                      |          |
| 126               | 226               | 180      | 180 Submission of Information Disclosure Statement                            |          |
| 581               | 2581              | 40       | 40 Recording each patent assignment per property (times number of properties) |          |
| 146               | 246               | 740      | 370 Filing a submission after final rejection (37 CFR § 1.129(a))             |          |
| 149               | 249               | 740      | 370 For each additional invention to be examined (37 CFR § 1.129(b))          |          |
| 179               | 279               | 740      | 370 Request for Continued Examination (RCE)                                   |          |
| 169               | 269               | 900      | 900 Request for expedited examination of a design application                 |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

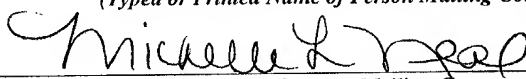
SUBTOTAL (3)

## SUBMITTED BY

|                   |                |                                   |                   |           |              |
|-------------------|----------------|-----------------------------------|-------------------|-----------|--------------|
| Name (Print/Type) | Anthony Niewyk | Registration No. (Attorney/Agent) | 24,871            | Telephone | 219-424-8000 |
| Signature         |                | Date                              | December 13, 2001 |           |              |

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|   |             |          |                                 |
|---|-------------|----------|---------------------------------|
| <b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b><br>Applicant(s): <b>Thomas R. Neuenschwander</b>  |             |          | Docket No.<br><b>LHC0091-08</b> |
| Serial No.  | Filing Date | Examiner | Group Art Unit                  |
| Invention: <b>PENCIL CORE AND METHOD OF MAKING</b>  |             |          |                                 |
| <p>I hereby certify that the following correspondence:</p> <div style="border: 1px solid black; padding: 10px; margin: 10px 0;"> <b>CONTINUATION PATENT APPLICATION</b> </div> <p style="text-align: center; font-size: small;"><i>(Identify type of correspondence)</i></p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on</p> <p style="text-align: center;"><b>DECEMBER 13, 2001</b></p> <p style="text-align: center; font-size: x-small;"><i>(Date)</i></p> <div style="text-align: right; margin-top: 20px;"> <p><b>MICHELLE L. NEAL</b></p> <p style="font-size: x-small;"><i>(Typed or Printed Name of Person Mailing Correspondence)</i></p> <div style="border-top: 1px solid black; width: 200px; margin: 5px 0;">  </div> <p style="font-size: x-small;"><i>(Signature of Person Mailing Correspondence)</i></p> <p><b>EL731285165US</b></p> <p style="font-size: x-small;"><i>("Express Mail" Mailing Label Number)</i></p> </div> |             |          |                                 |

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